User Guide

smallprint

Information to support integration of smallprint training and assessment support resources in RTO training and assessment strategies

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smallprint vigorously conducts checks of organisations suspected of breaching the legislation. Identified breaches will result in prosecution under the law.

## Disclaimer

This guide is not intended to be a prescriptive or authoritative source of information for RTO delivery of training and assessment services or compliance requirements. The information provided is based on best known practice and regulatory requirements.

smallprint does not accept any liability for actions taken by users as a result of information provided in this document.

Our vocational training resources support hundreds of vocational qualifications across 13 training packages

# Introduction

## This guide will help you integrate smallprint training and assessment support resources into your operations. It will support your self-audit and internal validation procedures.

Training delivery methods can be workplace based, group or individual, face-to-face/ workshop, distance, technology-based or a blend of these.

Qualified workplace assessors and trainers, with industry and VET experience design, develop, validate, regularly review and update smallprint resources. They participate in a range of industry and VET based professional development opportunities to maintain the currency of their expertise.

Industry and client feedback is sought, by smallprint to:

- validate the currency and relevance of the training and assessment support resources
- align smallprint resources with industry requirements
- align smallprint resources with VET requirements and standards

As part of its continuous improvement regime smallprint flags the review dates of all training packages for which it produces resources. It closely monitors progress as training packages go through the various draft forms in the industry review process, to ensure that resources are up-dated and released as new packages and ISC updates are endorsed.

## Training packages for which support resources are available include:

- Automotive
- Business services
- Community services
- Basic education and skills development
- Financial services
- Food processing
- Foundation skills
- Health
- Hospitality
- Information and communications
- Property services
- Retail
- Training and assessment
- Transport and logistics

## We also have a range of non-accredited, self-paced professional development programs in the following categories:

- Career pathways
- Cleaning
- Communication
- Computing
- Customer service
- Event Management
- Food and beverage service
- Governance
- Health and Safety
- Human resource management
- Leadership
- Leisure and recreation
- Management
- Marketing
- Providing a service
- Retail sales
- Training
- Working in an organisation

smallprint training and assessment resources are commercial products, offering learning content plus a range of assessment and evidence gathering tools.

**The resources should always be used in conjunction with and according to the instructions provided in this user guide.**

Each trainer and assessor should have a copy of this guide so they can align training, assessment and validation processes with the procedures that should be followed to deliver quality training and assessment.

The contents of smallprint resource units are developed and maintained in line with the appropriate training packages, according to information provided on training.gov.au

**They are not a standalone training and assessment product and must be properly incorporated, by the RTO, into their training and assessment strategy (TAS) or learning and assessment strategy (LAS).**

The RTO's training and assessment strategy identifies the learning and assessment arrangements for a VET qualification and addresses the individual units of competency.

RTOs are required by the Standards for RTOs to provide documented strategies for the delivery of nationally recognised training and assessment.

This includes suitable:

- explanation of the training and assessment materials to be used and contextualised
- explanation of how they will be used and supplemented
- evidence of industry consultation
- validation of assessment tools by the RTO

When used correctly, smallprint assessment tools provide the basis for comprehensive evidence gathering, to underpin a judgement of competence, in accordance with the rules of evidence and the principles for assessment and in support of the national VET regulator's (NVR) quality standards.

smallprint develop their resources at the unit of competency level so that each unit of competence contains:

- the unit title and code
- version control information
- clear information regarding smallprint copyright
- unit information—taken from training.gov.au—including:
  - identification of the qualification level
  - unit descriptors, legislative, licensing or regulatory requirements, pre-requisites and co-requisites, methods of assessment
  - the range statement
  - required skills and knowledge and critical aspects for assessment

Each smallprint participant guide or trainer/ assessor manual is comprised of:

Section 1: Learning support material

Section 2: Pre-assessment

Section 3: Assessment

Section 4: Validation, mapping and unit information

# Using smallprint training and assessment resources.

| smallprint resources | Purpose & application — What it does | RTO / Assessor contribution |
|---|---|---|
| Participant Guide<br><br>Section 1: Learning support material | Provides content to support learning and new skills development - information that addresses learning outcomes and individual performance criteria for a given unit of competence.<br><br>Used by trainers to convey basic information and instruction about the training subject.<br><br>**RTO/ assessor provides training, demonstration, coaching, instruction, supplementary training information, handouts, reference lists, direction to on-line information etc.** | Facilitate discussion, research and reading.<br><br>Provide sufficient opportunities for practise of new skills.<br><br>Validate training content against training package and workplace requirements.<br><br>Contextualise content.<br><br>Demonstrate and record industry consultation and endorsement.<br><br>Make accommodation for language, literacy and numeracy (LLN)/ (foundation skills) requirements. |
| Section 2: Pre-assessment | Provides a list of the skills a participant will need to demonstrate.<br><br>Before they commence training participants should use this as a self-assessment checklist to identify what they can already do.<br><br>If they can demonstrate these skills and provide suitable evidence of performance prior to training they can be given credit or can apply for Recognition of Prior Learning (RPL). | Advise participants of the self-assessment checklist, prior to commencement of training.<br><br>Provide instruction with regard to credit, recognition of prior learning (RPL) or recognition of current competencies (RCC) applications and the evidence that must be submitted to support them.<br><br>Make valid, fair and reliable assessments of credit and RPL applications.<br><br>Notify participants of the results before training commences. |

| smallprint resources | Purpose & application — What it does | RTO / Assessor contribution |
|---|---|---|
| Section 3: Assessment | Offers information about competency and addresses the ways in which smallprint assessment and evidence gathering tools can be used.<br><br>Provides:<br>› an assessment plan<br>› declarations to be signed by participants to verify that:<br>- they understand instructions regarding cheating and plagiarism<br>- are ready for assessment<br>- will submit only work that is verifiably their own<br>› evidence gathering tools, for formative and summative assessments, including observation reports<br>› an assessment summary and sign-off sheet (evidence collection and competency record)<br><br>**The trainer/ assessor manual (TAM) offers suggested minimum answers to the assessment questions and suggested tasks for the observations.** | RTOs must give assessors detailed instructions about assessment processes, benchmarks and expectations to ensure that assessment will be consistent over a range of assessors and assessment situations.<br><br>Trainer/ assessors should determine:<br>› the context for assessment<br>› which tools to use and/or what tools must be developed by the RTO/ assessor<br>› what evidence is required and how it will be recorded<br>› the standard of performance (benchmark) required—in addition to those provided by smallprint<br>› whether assessment will fulfil requirements for the principles for assessment and rules of evidence<br>› whether the assessment tools meet the requirements for the unit, the qualification and qualification level<br>› any language literacy numeracy or foundation skills requirements<br><br>Assessment should be conducted when participants feel they are ready and after they have had opportunities to practise new skills. |

| smallprint resources | Purpose & application — What it does | RTO / Assessor contribution |
|---|---|---|
| Section 3: Assessment | | Trainer/ assessors must:<br>› provide detailed instructions to participants<br>› make reasonable adjustments and contextualise assessments to meet industry requirements and to support local conditions and/or special needs<br>› develop situation relevant tasks to be undertaken by participants, and observed for collection of performance evidence<br>› provide more detailed and contextualised answers to questions and projects |
| Section 4: Validation, mapping and unit information | Provides unit information—as specified on training.gov.au<br><br>Identifies smallprint assessments and maps them against performance criteria, required knowledge, required skills and critical aspects for assessment. | Validate the assessment tools to be used, and provide evidence of validation—to ensure that assessments address the performance criteria, required knowledge, required skills and critical aspects for assessment for each unit of competence.<br><br>Identify and address any assessment gaps.<br><br>Map any contextualised, adapted or additional assessments. |

Before training commences learners/ training participants/ candidates for assessment should:

- have competency based assessment explained to them
- be advised of the assessment procedures and requirements that will affect them
- be advised of the arrangements in place for recognition of prior learning/ recognition of current competencies (RPL/ RCC) applications and evaluations—from lodgement to decision

RTOs' training delivery strategies should indicate direct consultation with industry and employers to enable effective contextualisation of smallprint resources. A record of consultation should be documented, to support compliance.

Evidence of RTO consultation with industry might be demonstrated by:

- the creation and documentation of training and assessment activities which require learners to conduct research relating to industry/ employment situations
- tailoring course/ program outcomes to meet specific and identified organisational skill requirements
- making use of existing industry training or learner support tools
- introducing actual workplace policies and procedures into the training and assessment and using job descriptions to help participants understand job conditions – in real or simulated workplace scenarios and case studies
- referencing, where relevant, industry codes of practice, guidance notes and other industry information on, for instance, hazard and risk control, business and risk management strategies
- incorporating and aligning, where relevant, regulatory information, legislation and information applicable to licensing
- considerations relating to age and/or gender, cultural beliefs, traditional practices, religious observances etc
- using smallprint material in ways that incorporate local and industry knowledge
- helping participants apply new skills in local and industry appropriate situations– either real or simulated

RTOs are responsible for understanding compliance responsibilities, in line with current regulatory requirements.

They will be expected to comply with:

- the conditions of registration
- VET quality framework requirements which include:
  - the standards for NVR RTOs
  - the Australian Qualifications Framework (AQF)
  - data provision requirements
  - fit and proper person requirements
  - requirements applicable to financial viability and risk
- any extra conditions imposed by a regulator such as the Australian Skills Quality Authority (ASQA) or by other regulatory bodies that can implement additional conditions

It is up to each RTO to:

- identify the target audience/ or client group for whom use of these resources will be relevant
- adapt and contextualise learning resources and, in particular, assessments, to address group and individual needs, relevant to industry and local conditions

smallprint advise that each trainer/ assessor consider each assessment in the context of the specific industry sector and/or organisation and make adjustments or contextualise as necessary.

Trainer/ assessors must determine the most suitable method/s of assessment, the context in which assessment should take place, the tools that will be used to collect evidence and the type and amount of evidence required.

Flexibility of smallprint material means that trainers and assessors can easily incorporate their own materials, tools and methodologies into an integrated assessment. They can nominate and collect additional forms of knowledge and performance evidence.

**smallprint can offer its clients editable assessments.**

**To assist with contextualisation and to support RTOs' compliance efforts, smallprint assessment tools can be accessed, edited and customised online by the RTO.**

The RTO can insert information into the assessments to make them industry and employment relevant, change the wording of assessments, use their own assessments, add to or subtract from the smallprint assessments.

Assessments that are customised in this way can be presented to the regulating body as proof of contextualisation.

Action Plan
- Market Research
- Operation Plan
- Budget
Safety

# Using the Resources / Section 1: Learning support material

This section of the resource contains content that will support training/ learning and new skills development.

Information in this section addresses the learning elements, performance criteria and underpinning knowledge for each study unit.

The learning support material can be used as a distance learning guide or for classroom/ workshop training delivery.

Trainers will add to this content by providing, for instance, workplace demonstration, coaching, handouts, resource and reference lists, anecdotal and experiential information or other supplementary training materials.

Resources, additional to those supplied by smallprint could include:

- course schedules
- training plan templates
- session plans
- information/ resources nominated by industry
- handouts and supplementary texts, case studies, statistics, graphs and diagrams relevant to industry and employment contexts
- resources (machinery, equipment, time, consumables etc) that will enable participants to develop and practise new skills in workplaces or simulated workplaces
- copies of organisational policies, procedures, protocols, codes of practice and industry relevant legislation
- assessment instructions, and possibly a range of alternative/ supplementary tools and evidence gathering methods
- marking guides
- reading lists
- evaluation forms that can be distributed to participants in order to gather feedback
- if relevant, sets of work placement log books

Trainer/ assessors should ensure that training delivery accommodates a range of learning style preferences.

They should also ensure that there are opportunities for participants to use newly learned skills in the workplace or a simulated workplace and to practise those skills before assessment is undertaken.

### Formative assessment

Throughout the learning support material section there are prompts that refer the trainer/ assessor and participant to the formative assessment activities.

For example, from CHCAC316D: Provide food services:

**Wear clothing and footwear appropriate for food handling task and to meet requirements of the food safety program**

Correct clothing is important when handling foods—it contributes to the professional image of staff and the facility, acts as personal protection and contributes to necessary hygiene requirements.

… … …

Footwear should be sturdy, strong and comfortable. Shoes should be closed and have non-slip soles. Comfortable footwear assists in reducing fatigue and lower back problems. Open-toe shoes, high heels, sandals, thongs etc should not be worn. Shoes must always be clean.

***Refer to activity 7.***

Performance criteria

Learning support material to explain performance criteria

Prompt

### To be completed prior to commencement of training.

Participants should consider the listed skills in terms of their previous qualifications, their work experience/ expertise and current skills. They can use the self-assessment and work with the trainer/ assessor to identify their own learning needs and to help schedule training.

If they believe they can provide evidence to show competency in any or all of the listed tasks they should discuss, with the trainer/ assessor, the possibility of credit for the whole or part of the unit.

Participants must provide sufficient, current, valid, reliable and authentic evidence to be credited for skills recognition—recognition of prior learning/ recognition of current competencies (RPL/ RCC).

The trainer/ assessor should clearly explain the evidence requirements and the most appropriate methods of presenting the evidence.

**Self-assessment checklist**

| Skill and knowledge self-assessment | | |
|---|---|---|
| **Is the participant able to:** | **Comments/ evidence** | **Yes/ No** |
| Tasks relevant to the unit of competence will be entered here | | |
| | | |
| | | |
| | | |

If participants can perform only some of the listed skills they might be given credit for those particular skill areas. This means that they will not have to undertake training or assessment in areas where they are already sufficiently skilled.

### Assessment only

If a participant believes they can perform all of the identified skills to the required standard but does not have sufficient documented evidence to hand, they might choose to undertake an assessment only pathway – where the training is by-passed.

This section provides assessment information:

- instructions to participants and assessors
- guidance on evidence gathering for assessment
- copies of assessment tools and tasks
- copies of the assessment recording sheet

| Assessment tool | Type of assessment | What is assessed |
|---|---|---|
| Activities | Formative assessment 1 | The underpinning knowledge required to undertake the tasks, outlined in the elements and performance criteria |
| Questions | Summative assessment 1 | **Required knowledge** |
| Projects | Summative assessment 2 | **Required knowledge**, **critical aspects for assessment** and, in some cases, **required skills** |
| Observation report (in workplace) | Summative assessment 3 | **Required skills** to undertake the tasks outlined in the elements and performance criteria |
| Third party report | Supplementary evidence | **Required skills** to undertake the tasks outlined in the elements and performance criteria |

## Competence

Competency-based assessments are designed to assess understanding of why, how and when tasks should be performed in a range of different circumstances and to assess the practical performance of work tasks, relevant to particular study units.

Competency-based assessments are, therefore, not related to time spent in formal education settings or based on closed book testing/ rote learning, and the performance of one participant is not measured against the performance of other participants or against sets (percentages) of results.

Competence is directly related to the observable performance of skills/ skill sets. It measures achievement against learning objectives and changes in a participant's behaviour (performance) as a result of training. This is called criterion referenced assessment—measurement of performance against specific criteria.

Trainer/ assessors will collect a range of evidence, and different evidence forms, to support a final assessment of competence.

Each assessment activity undertaken by participants must be performed at a satisfactory level—as determined by the assessor.

If performance is not yet satisfactory the trainer/ assessor should work with the participant, giving feedback and developing improvement plans and strategies to be followed until the participant is ready for reassessment. When all the evidence submitted has been assessed as **satisfactory** a judgement of competence can be made.

Trainer/ assessors must be able to show that participants have demonstrated a satisfactory performance level for each activity, to ultimately justify a judgement of competence.

### Performance standards

An assessment of competence relies on a performance of a task or set of tasks, under s-pecified conditions, to an agreed standard.

Competency-based training and assessment is intended to address practical, work based skills.

The agreed standard is generally that required in employment and competence is reliant on repeat performance at the required standard, consistently and over time.

The learning outcomes and performance criteria for each unit of competence, taken from the national training register, training.gov.au, describe the knowledge and actions required to demonstrate competence in a particular subject area.

Performance criteria also describe the required standard of performance. These standards are nationally agreed and developed through industry consultation.

Standards or performance benchmark requirements might, for instance, relate to:

- time
- quality
- quantity
- productivity
- safety
- accuracy
- innovation/ creativity
- number of performances

Wherever possible, smallprint are prescriptive about standards and quantify expected responses.

In the smallprint trainer/ assessor manual, suggested answers are provided for the activities, projects and questions in the assessment tools. These answers indicate the minimum requirements for a satisfactory response, but it is up to the RTO and the trainer/ assessor to explain to participants the required standards and to determine whether answers or responses provide sufficient evidence. Participants should give answers that are relevant to a particular industry or employment context.

### Judgement of competence

To be assessed as competent for any study unit participants must provide satisfactory **knowledge evidence (required knowledge)**, plus **performance evidence (required skills)** plus evidence that shows they can satisfactorily perform all the **critical aspects for assessment** – taken from the national training register.

smallprint assessment tools support collection of different forms of evidence to fulfil these requirements.

It is up to the RTO and the assessor to determine:

- the appropriate context for assessment
- which of the tools are most suitable
- what evidence is required
- how, when and how many times performance should be observed
- whether the evidence actually collected is valid, sufficient, current and authentic
- whether they need to add, change or adopt assessments

Assessment processes must be fair, valid, reliable and consistent over a range of assessors and assessments.

These conditions fulfil the requirements for the principles for assessment and the rules of evidence.

Assessors might:

- use all of the assessment tools in the smallprint resource
- provide supplementary assessment tools
- design their own assessment tasks
- use tools prescribed in the RTO's TAS
- use a range of different methods including evaluation of portfolios of work, collection of evidence from group activities, review of performance evaluations, specifically designed role plays and simulations
- use a combination of all of the above

Recommended best practice is that:

- assessment evidence be gathered over time and involve repeat skill demonstrations, rather than only those observed on one assessment occasion
- a range of assessment methods be used, to allow for differences in candidate performance and training facilities and to enable the collection of different evidence types
- assessment and evidence gathering be related to holistic performance of workplace tasks; ie to the learning outcomes relevant to complete units of study or to sets of study units, rather than to isolated performances which do not realistically reflect the way tasks are carried out in the workplace

Regardless of the tools selected for use, in most instances some form of contextualisation will be necessary and RTOs and assessors must provide evidence that they have done this.

Assessment must take into consideration the four dimensions of competence:

1. Individual task skills (the demonstrated ability to perform tasks relevant to the job/ role).
2. Task management skills (the demonstrated ability to prioritise and manage a number of different tasks that relate to required job outcomes).
3. Contingency management skills (the demonstrated ability to identify and fix problems).
4. Job/ role environment skills (the demonstrated ability to work cooperatively and collaboratively with others).

### Assessment instructions

Before assessment can take place RTOs and assessors must provide clear instructions to participants outlining:

- the agreed date, time and place for assessment – or the deadlines for submission
- the structure of the assessment
- who will be involved in assessment
- the number of times performance must be observed
- the amount or type of assistance candidates can expect
- the assessment environment
- resources required for assessment
- the performance standards or benchmarks relevant to the qualification (at the appropriate AQF level)
- how results will be communicated
- procedures to be followed if a not yet competent result is received
- appeals processes in the case where a result is disputed
- how and when certificates will be issued

### Assessment environment

The RTO should identify the environment in which assessments will be conducted.

For assessment purposes participants must have access to:

- an appropriate workplace or simulated workplace, where skills can be practised and performance can be observed - online and distance delivery modes will need to accommodate these requirements
- resources normally used in the workplace:
  - materials, equipment, machinery and environmental conditions similar to a fully functioning workplace
  - consumable resources, needed for practise and for skill demonstrations
  - specifications, work instructions and workplace information, including policy and procedural documents
- qualified assessors with relevant vocational training and assessment qualifications and competence
- appropriate assessment and evidence gathering tools/ instruments and recording procedures

### Assessment and evidence gathering tools

smallprint assessment tools offer:

- **formative assessment** activities that address the learning elements, performance criteria and required knowledge
- a set of **summative assessment** questions that enable collection of knowledge evidence and require verbal or written responses
- a project that also acts as a **summative assessment** and can be used to collect both knowledge and performance evidence
- an **observation report** that enables assessors to record evidence of participant performance on the job or in a simulated workplace

smallprint also provides a **third party evidence collection tool**.

This tool can be used, with appropriate instruction from the RTO and assessor, and agreement between the third party, assessor and participant, to gather evidence and report on participant performance in a real or simulated workplace.

### Foundation skills

Participants must be able to demonstrate foundation skills - the literacy and numeracy skills that ensure they can read, write and use mathematical or arithmetical skills - at the required qualification or course level.

Foundation skills that are essential to performance are described in the Australian Core Skills Framework.

These should be identified by the RTO and skills gaps that apply to individual learning participants should be addressed by the RTO.

### Other information

Participants with special needs, including a disability or cultural or lifestyle needs that might impact on training or assessment processes are entitled to the same educational opportunities as everyone else. Reasonable adjustments can be made to training and assessment methodologies, taking into account equity requirements.

This should not create undue hardship for the RTO or the assessor and should not give an unfair advantage to, or disadvantage, any other candidates for assessment.

The integrity of the unit of competency and the expected performance standards must be maintained.

RTOs and assessors must take into account relevant access and equity issues, in particular those relating to factors that impact on health and training needs of Aboriginal and/or Torres Strait Islander clients and communities and/or migrant communities or individuals for whom English might be a second or third language.

Trainers/ facilitators/ assessors should identify any special needs, reasonable adjustment requirements or adaptations necessary to accommodate cultural or LLN issues.

**On request, smallprint can supply large print hard copy resources for clients.**

### Complaints and appeals– re-assessment

Competency-based assessments are not intended to be pass/ fail type tests. Assessments can be re-done a number of times until a participant achieves a satisfactory result.

Competence relies on participants being provided with appropriate demonstration, theoretical knowledge, support when learning to apply the relevant skill sets, and on opportunities to practise their skills.

Once a participant feels that they can demonstrate a skill (or set of skills) to the required standard they can negotiate an assessment time.

If, as a result of the assessment, the assessor feels that the participant is not yet competent, the assessor should justify, to the participant, their decision; provide constructive feedback and ensure that the participant has ongoing opportunities for support and practice. Once the participant is ready, a re-assessment can be negotiated.

At all stages of the assessment process participants must be given suitable opportunities to re-submit and to be re-assessed when they consider they are ready.

### Appeals

All training participants/ candidates for assessment must be advised that they have the right to appeal an assessment result they believe to be unfair, incorrect or inappropriate.

The RTO's policies and procedures will enable participants to action a complaint or grievance regarding any act, product or service of the education and training provider (RTO) - academic or non-academic - and including assessment results.

## Cheating and plagiarism

**Cheating** is defined as obtaining, attempting to obtain or aiding another to obtain credit for work or any improvement in evaluation of performance, by any dishonest or deceptive means.

These are unacceptable behaviours which will result in disciplinary action. RTOs will have policies and procedures relevant to cheating and plagiarism and should inform all participants of their responsibilities.

**Plagiarism** is using the ideas or work of another person/s as if they were your own without giving proper credit to the source.

If participants use materials from published authors, to support their assignment work, they must cite and reference the works correctly. If they do not know how to do this the trainer/ assessor should provide assistance or direct them to the Harvard referencing system (or similar) on the Internet.

## The assessment plan

The assessment plan can be completed as a result of trainer/ assessor and participant collaboration. It indicates the tools to be used and provides spaces for trainer/ assessors and participants to nominate possible dates on which assessment might take place.

The assessment plan should reflect the RTO's training and assessment strategy (TAS) and the needs of individual participants.

The declaration about the assessment process and about cheating and plagiarism should be brought to the participant's attention and explained by the trainer/ assessor. This should be signed by participant and trainer/ assessor and held as a record of the fact that the participant understands what is expected.

**The assessment plan:**

To be completed by trainer/ assessor and participant before training commences

Trainer/ assessor should nominate the smallprint assessment activities to be used. If not using an activity it can be marked as N/A.

Commencement and submission dates can be agreed upon by trainer/ assessor and participant.

If the trainer/ assessor chooses to use other assessment/ evidence gathering activities these should be listed.

Although feedback should be given at the time of performance, a date for formal feedback can be nominated.

| Assessment plan | | | |
|---|---|---|---|
| **RTO name** | | | |
| **Participant name** | | | |
| **Student identifier** | | | |
| **Trainer/ assessor name** | | | |
| | **Sources of evidence** | **Date to commence** | **Date to complete** |
| **Formative assessment** | Activities | | |
| **Summative assessment** | Questions | | |
| | Project/s | | |
| | Observation report | | |
| **Supplementary evidence collection** | Third party report | | |
| **Other assessment** | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| **Date/s for feedback to participant on their progress** | | | |

Instructions for trainer/ assessors and participants.

**Resources required to undertake this assessment**

Participants must have access to these resources:

- copies of the activities, questions, projects nominated by the trainer/ assessor
- relevant organisational policies, protocols and procedural documents
- device/s to record answers
- an appropriate workplace or simulated workplace
- resources normally used in the workplace

**Assessment instructions**

Assessment requirements to be explained by trainer/ assessor.

Participants should respond to the formative and summative assessments either verbally or in writing, as agreed with the trainer/ assessor. Written responses can be recorded in the spaces provided (if more space is required attach additional pages) or submitted in a word processed document.

If participants answer verbally, the trainer/ assessor should record their answers in detail.

Participants should also undertake observable tasks that provide evidence of performance. Trainer/ assessors must provide instruction to participants, on what is expected during observation, and arrange a suitable time and location for demonstration of these skills.

Participants must fully understand what they are required to do to complete these assessment tasks successfully, then sign the declaration.

**Performance standards**

To receive a **satisfactory** result for the assessments participants must complete all activities, questions, project/s and tasks nominated by the assessor, to the required standard.

Completion of all tasks, to a satisfactory level, will contribute to a final assessment of competence.

Assessors must clearly explain the required performance standards.

Declaration to be explained to participants.

**Declaration**

I declare that :

- the assessment requirements have been clearly explained to me
- all the work completed towards assessment will be my own
- **cheating** and **plagiarism** are unacceptable

To be signed by the participant and the trainer/ assessor to indicate understanding and agreement.

| | | | | | |
|---|---|---|---|---|---|
| **Participant name** | | **Participant signature** | | **Date** | |
| **Trainer/ assessor name** | | **Trainer/ assessor signature** | | **Date** | |

### Formative assessment

Formative assessment is a continuous or progressive assessment—in smallprint resources it takes the form of a series of activity questions—that is conducted as people learn, practise and embed new skills.

Over the learning period participants will develop new knowledge and new skills. They must have opportunities to practise their new skills and test their new learning.

Trainer/ assessors should provide verbal and written feedback throughout the training/ learning period.

The formative assessment process provides opportunities for trainers and assessors to give feedback, correct erroneous learning, and reinforce appropriate skill development.

The assessment plan form provides a space for assessors to nominate feedback dates, however, feedback should be provided at the time of performance.

As formative assessment questions address the learning elements and performance criteria in smallprint resources, trainer/ assessors should ensure that the questions asked are relevant to the participant's workplace or to their intended work situation. They can add questions or adapt the existing smallprint questions.

In the smallprint **participant guide** spaces will be left so that answers can be inserted. Participant answers might also be word processed and submitted on separate sheets of paper.

In the **trainer/ assessor manual** smallprint supply suggested answers to the formative and summative assessment questions.

Depending on circumstances and their possible work roles, participants might supply answers that vary from the suggested answers. Assessors must use their professional judgement to determine the sufficiency of the answers.

Example of a formative assessment question and answer:

### *Activity 1.*

List at least seven things you would need to know in order to participate effectively in a competency based assessment.

*Answer could include any or all of the following:*

1. *The qualification being undertaken.*
2. *The relevant training package.*
3. *The learning elements and performance criteria to be addressed.*
4. *RPL/ RCC requirements if applicable.*
5. *Safety requirements applicable to the assessment.*
6. *Methods to be followed.*
7. *The tools that will be used.*
8. *The types of evidence to be gathered to meet the Principles of Assessment.*
9. *The quantity and quality requirements for the evidence – to meet the Rules of Evidence.*
10. *Any special needs of candidates.*
11. *Any LLN (Foundation skills) issues.*

*Participants can add to this list.*

Formative assessment questions can be answered verbally or in writing, as agreed with the assessor.

Verbal responses should be documented by the trainer/ assessor. The assessor should not prompt the participant or change any of their responses.

Once the activities have been completed the assessor will determine whether the answers are **satisfactory**, give feedback to the participant regarding the assessment result, and fill in the summary sheet.

A satisfactory result for the formative assessment will contribute, in conjunction with other evidence, to a judgement of competence.

### Summative assessment 1: Questions

This set of questions directly addresses the required knowledge component of the study unit.

The trainer/ assessor must explain to the participant:

- what they are required to do
- when the assessment responses must be submitted
- the performance standards that must be demonstrated
- how to access extra assistance if they need it

### Summative assessment 2: Project/s

This assessment tool can be used to collect evidence relating to required knowledge or knowledge evidence, the critical aspects for assessment and, in some cases, the required skills.

smallprint projects might indicate, for example, that participants should complete an in-depth theory assignment, conduct and report on research, respond to a series of case studies or perform practical tasks that address the requirements of a workplace and the study unit.

Assessors should make certain participants understand the expected performance standards.

### Summative assessment 3: Observation report

This is a tool that can be used by trainer/ assessors when they collect observation based evidence of a participant's practical performance in an actual workplace, ideally, on a number of occasions and in a range of circumstances.

In some instances performance might be observed in a simulated workplace which resembles, as closely as possible, an actual workplace, and supports the performance of actual workplace tasks.

For instance: the unit information downloaded from training.gov.au could indicate that a commercial cookery assessment might take place in an operational commercial kitchen with the fixtures, large and small equipment and workplace documentation which would be a real industry workplace; or it might take place in a simulated industry environment such as a training kitchen, servicing customers with industry-realistic ratios of kitchen staff to customers.

Similar conditions will apply in other industry sectors and these are explained in the Unit Information downloaded from training.gov.au and located in **Section 4: Unit information, validation and mapping** of the smallprint resource.

If conducted in an actual workplace, arrangements must be made with the participant and the workplace to accommodate observation. It might be necessary for the trainer/ assessor to work with a manager or supervisor, and in all cases, the observation process should be designed to comply with workplace safety and security requirements and be minimally disruptive.

Performance should be supported by evidence of underpinning and required knowledge. During an observation the assessor should ask questions that will help assess the participant's underpinning knowledge. Responses to questions should be noted and recorded.

It is a good idea for assessors to prepare and document the questions they will ask, prior to the assessment.

### Instructions

RTOs must provide sufficient and clear instruction to assessors regarding:

- procedures for conducting observable assessment activities
- complying with the principles of assessment
- identifying and communicating the required performance standards

Assessors must provide clear and detailed instruction to participants so they know exactly what will be expected of them in an observation situation.

They need to know:

- how to complete observable/ practical assessment tasks
- the minimum practical performance standards required

Task lists should be disseminated to participants ahead of the assessment time, so they can prepare for the assessment.

The smallprint observation report links, wherever possible, required skills with relevant performance criteria then offers examples of tasks that could be undertaken to provide performance evidence.

It is up to RTOs and assessors to determine whether these are appropriate or whether they should develop their own tasks.

In some instances there will be no match between required skills and performance criteria, however, the skills and performance criteria will still be listed and example tasks given by smallprint.

**RTOs and assessors should add their own industry relevant tasks and can change/ adapt or contextualise observation tasks online.**

**Observation report:**

Example: (TAEDEL401A)

Required skills as per the training package and unit information are listed.

Performance criteria that align with that particular skill are matched to required skills.

Tasks that could be undertaken by participants, to demonstrate the required skills and performance criteria are entered. Trainer/ assessors should develop and contextualise industry relevant tasks.

Trainer/ assessor's input

Trainer/ assessors should nominate the context and date/s for observation of tasks, describe the tasks and make comments, at the time of observation, regarding participant performance standards.

| **The participant must demonstrate that they can perform the following required skills and related performance criteria.** | |
|---|---|
| **Required skill** | |
| *Literacy skills to:*<br>▪ *read and interpret relevant information*<br>▪ *prepare required documentation and collate evidence in required format* | |
| **Relevant performance criteria** | |
| 2.1 | Access and confirm relevant assessment system policies and procedures; organisational, legal and ethical requirements; and other relevant advice on assessment |
| 2.2 | Clarify nominated assessment tools and methods for collecting evidence with qualified assessor, to ensure that procedures to be followed and instruments to be used are clear |
| 2.3 | Discuss and confirm with relevant people assessment context, including candidate's characteristics and any need for reasonable adjustments |
| **When completed satisfactorily the following tasks will provide evidence of performance. RTOs should contextualise the tasks:**<br>▪ **to relevant industry/ organisation requirements**<br>▪ **in line with reasonable adjustment practices**<br>▪ **to the environment in which the assessment is conducted** | |
| Locate and provide information relating to assessment system policies and procedures. Include organisational, legal and ethical requirements.<br><br>Provide a description of three different assessment tools plus methods for collecting evidence. Discuss these with a qualified assessor. Write down any suggested changes.<br><br>Create an assessment activity that provides a fair assessment outcome for people with a disability Talk to a qualified assessor about the suitability of this activity. | |
| **Trainer/ assessor's comments in detail on their observation** | |
| **Context and date of observation** | |
| | |
| **Tasks observed or evidence provided** | |
| | |
| **Comments, eg strengths, limitations, development needs** | |
| | |

**If assessors design lists of tasks for participants to complete these should be in plain English and task descriptions should be based on the taxonomy in the Australian Qualifications Framework (AQF) handbook, relevant to the appropriate level for the qualification.**

### Third party edivence collection

The third party evidence collection tool is similar to the observation report in that it requires specific tasks or task series to be completed by a participant and observed and reported on by a third party. It is an optional tool to be used when it is not possible for an assessor to observe a participant's work performance (in a workplace or in a simulated workplace) over a period of time.

A third party will be someone who can observe the participant on a regular basis and who is suitably qualified or experienced in the workplace, therefore able to collect relevant, reliable, task related and useful evidence. This might be a manager, supervisor, team leader or even a work colleague who is able to verify that the participant can perform nominated tasks consistently, to the required standard.

A third party report is not an assessment. The evidence collection tool can be used to gather supplementary evidence and provide a report for the assessor to use in support of a judgement of competence.

The RTO should provide assessors with comprehensive guidance about how to select the third party. They must obtain confirmation, in the form of a signed agreement, that the third party clearly understands their role, duties, the type of evidence to be collected and the dates/ periods over which collection will occur.

The task list that was used for the observation report can also be used for the third party report, or alternative, relevant tasks might be described.

Regular contact between the assessor and the third party is advisable.

**Third party agreement form:**

RTOs must provide assessors with comprehensive guidance about procedures to follow when selecting a third party.

The third party should receive adequate information about the role and about training package and/or unit requirements.

The third party, the participant and the assessor should meet to discuss and agree on the evidence collection process.

All parties should sign the agreement.

## Third party evidence collection agreement

| Assessor statement | Tick |
|---|---|
| I have provided clear instructions to the third party regarding the type and the quantity of evidence to be collected and reported on. | |
| The third party has been given an evidence reporting tool (smallprint's third party report). | |
| We have agreed on: | |
| • the tasks to be observed | |
| • the environment in which the work tasks will be performed | |
| • the questions that might be asked to collect knowledge evidence | |
| • the period over which evidence collection will take place | |
| • a meeting schedule | |

| | | | |
|---|---|---|---|
| **Assessor name** | | | |
| **Assessor signature** | | **Date** | |

| Third party statement | Tick |
|---|---|
| I have received clear instructions about the evidence collection process and my role with regard to evidence collection. | |
| I understand: | |
| • the type of evidence that should be collected and reported on | |
| • the amount of evidence I need to collect | |
| • type and the quantity of evidence to be collected and reported on | |
| • the number of performances I should observe | |
| • the questions I might ask to collect knowledge evidence | |
| • the time frames and performance standards applicable to the participant's work performance | |
| The assessor, the participant and I have met to agree on: | |
| • the tasks to be observed | |
| • the environment in which the work tasks will be performed | |
| • the period over which evidence collection will take place | |
| • a meeting schedule | |
| I am able to regularly and consistently observe the participant's work performance. | |

| | | | |
|---|---|---|---|
| **Third party name** | | **Work role** | |
| **Third party signature** | | **Date** | |

| Participant statement | Tick |
|---|---|
| I have received clear instructions about the third party observation, the evidence collection process and the roles of the assessor and the third party. | |
| I understand what will be required of me and I understand the required performance standards. | |

| | | | |
|---|---|---|---|
| **Participant name** | | **Participant signature** | |
| **Work role** | | **Date** | |

**Third party evidence report:**

Third party will observe participant performance and record the results against the relevant tasks.

The third party's comments about the participant's performance—strengths, weaknesses, number of observations etc—should be entered here.

When sufficient evidence is collected the third party, participant and trainer/ assessor should meet to discuss the results.

After discussion with the third party the trainer/ assessor can enter their evaluation.

**When completed satisfactorily the following tasks will provide evidence of performance. RTOs should contextualise the tasks:**

- **to relevant industry/ organisation requirements**
- **in line with reasonable adjustment practices**
- **to the environment in which the assessment is conducted**

| Tasks observed | Third party comments | Trainer/ assessor evaluation |
|---|---|---|
| Ask learners, during training sessions, to share their experience, opinions and ideas so that the sharing becomes a learning resource. | | |
| Use different training methods to accommodate a range of learner needs and preferences. | | |
| Use group discussion and activities as effective training aid. | | |
| | | |
| | | |
| | | |

## The judgement

When all the evidence has been collected and reviewed by the assessor (who might work with other assessors and/or with subject or workplace experts) a judgement of competence can be made and the participant advised of the overall result.

Results can be entered into the evidence summary sheet.

Feedback should be given, with opportunity for discussion of the result.

**Evidence summary sheet:**

Trainer/ assessors should record the results for each assessment activity.

This section must be signed if the third party report was used. It indicates that a meeting, to discuss the observation results, was held and whether the performance of the participant was satisfactory.

If other assessment methods were used they should be listed here and the results entered.

## Evidence summary sheet

| | |
|---|---|
| **Participant name** | |
| **Student identifier** | |
| **Trainer/ assessor name** | |

To be judged as **competent** participants must have a **satisfactory** result recorded for each assessment activity. If a result of **not satisfactory** is recorded for any assessment task, the trainer/ assessor will determine whether additional training and/or assessment is required.

**Formative assessment 1—Activities**

The participant demonstrated the necessary **required knowledge** to address the requirements for the elements and performance criteria.

☐ **Satisfactory** ☐ **Not satisfactory** ☐ **Not applicable**

**Summative assessment 1—Questions**

The participant demonstrated the **required knowledge**.

☐ **Satisfactory** ☐ **Not satisfactory** ☐ **Not applicable**

**Summative assessment 2—Projects**

The participant demonstrated the **required knowledge**, **critical aspects for assessment** and, where appropriate, the **required skills**.

☐ **Satisfactory** ☐ **Not satisfactory** ☐ **Not applicable**

**Summative assessment 3—Observation report**

The participant demonstrated the **required skills** to undertake the tasks outlined in the elements and performance criteria.

☐ **Satisfactory** ☐ **Not satisfactory** ☐ **Not applicable**

**Supplementary evidence 1—Third party report**

The review meeting between third party and trainer/ assessor was conducted (tick).

☐ **Face-to-face** ☐ **Phone interview** ☐ **Other**

The participant demonstrated the **required skills** to undertake the tasks outlined in the elements and performance criteria.

☐ **Satisfactory** ☐ **Not satisfactory** ☐ **Not applicable**

**Other assessment**

☐ **Satisfactory** ☐ **Not satisfactory** ☐ **Not applicable**

The trainer/ assessor should consider the results of each assessment phase and make a judgement of competence. Written feedback can be entered here.

The trainer/ assessor and the participant should sign and date the form to show that both understand and agree with the assessment result.

If the participant disputes the result they can appeal. They should not sign the agreement section but should sign this section.

The trainer/ assessor should sign to show that they have been informed of the dispute.

| **Overall result** | |
|---|---|
| ☐ **Competent** | ☐ **Not yet competent** |
| **Feedback to participant—points for discussion** | |
| **The participant has been provided with feedback and informed of the assessment result and the reasons for the decision.** | |
| **Trainer/ assessor signature** | |
| **Date** | |
| I have received feedback and been informed of the assessment result and the reasons for the decision.<br><br>I agree with the assessment result and any resulting actions. | |
| **Participant signature** | |
| **Date** | |
| **Or** | |
| I have received feedback and been informed of the assessment result and the reasons for the decision.<br><br>I disagree with the assessment result and/or reasons for the decision and wish to appeal the decision. | |
| **Participant signature** | |
| **Trainer/ assessor signature** | |
| **Date** | |
| **Date for reassessment** | |

The participant should follow appropriate procedures for re-assessment, assessment by another trainer/ assessor or dispute resolution.

In this section the different forms of evidence collected using smallprint assessment tools are mapped against the performance criteria, required skills, required knowledge and critical aspects for assessment.

smallprint uses this mapping process to validate its assessments and to ensure that, in their opinion, the tools, if used correctly, will support the collection of sufficient relevant, current, reliable, valid evidence over a period of time and in different situations.

Validations are conducted by qualified instructional designers, subject experts and workplace trainers.

Learning elements, performance criteria, critical aspects for assessment will be listed here.

smallprint will record the assessment activities, questions and projects that address the performance criteria and critical aspects for assessment.

The observation report and the third party evidence gathering tool will collect evidence relating to all of the performance criteria and critical aspects for assessment.

| Validation and mapping | Formative | Summative | | | Supplementary |
|---|---|---|---|---|---|
| Elements and performance criteria | Activities | Questions | Project | Observation Report | Third Party Report |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |

| Validation and mapping | Formative | Summative | | | Supplementary |
|---|---|---|---|---|---|
| Critical aspects for assessment | Activities | Questions | Project | Observation Report | Third Party Report |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |

Required skills and required knowledge for each unit will be listed here.

smallprint will record the assessment activities, questions and projects that address the required skills and the required knowledge.

The observation report and the third party evidence gathering tool will collect evidence relating to all of the required skills.

| Validation and mapping | Formative | Summative | | | Supplementary |
|---|---|---|---|---|---|
| **Required skills** | Activities | Questions | Project | Observation Report | Third Party Report |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |
| | | | | Yes | Yes |

| Validation and mapping | Formative | Summative | | | Supplementary |
|---|---|---|---|---|---|
| **Required knowledge** | Activities | Questions | Project | Observation Report | Third Party Report |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |
| | | | | N/A | N/A |

**smallprint mapping and validation should be supported by the RTO's own validation and mapping.**

### RTO validations

RTOs and their staff should regularly participate in both internal and external validation and moderation processes to ensure that:

- assessments actually assess what they are intended to assess
- for each unit of competence, the assessments are sufficient to support a reliable, valid and fair judgement of competence

Results of validation meetings should be documented.

RTOs need to determine whether the:

- learning/ assessment activities (formative assessment) will enable collection of sufficient evidence relating to the required/ underpinning knowledge requirements for each unit
- verbal/ oral questions (summative assessment) will assess underpinning knowledge as it relates to the critical aspects for assessment and to the required knowledge
- final assessment or project (summative assessment) addresses all of the performance criteria in a unit and, where necessary, has a practical component
- observation report (formative and summative assessment) which is intended to support the other evidence collection processes, is accompanied by a task list relevant to the industry/ workplace context and will enable sufficient, quality evidence to support a judgement of competence
- third party observation report (formative and summative assessment) can be used to record evidence that assessors can evaluate and use to support performance assessment
- all forms, cover sheets, summaries, sign-offs and agreements are appropriate

### Continuous improvement

smallprint resources and assessment tools (and the answers provided in the trainer/ assessor manuals) are subject to continuous improvement.

We undertake continuous improvement activities, constantly utilising industry and client feedback to make our training and assessment resources consistent with the requirements of industry stakeholders, the training package or accredited course, and with the training and assessment strategies of registered training organisations. Feedback is sought and used to validate the currency and relevance of our training and assessment support resources so that our materials can meet ongoing industry and VET requirements and standards.

smallprint materials are developed and maintained in line with the appropriate training packages according to information provided on training.gov.au.

| | |
|---|---|
| AQF | Australian Qualifications Framework |
| ASQA | Australian Skills Quality Authority |
| ISC | Industry Skills Council |
| LAS | Learning and Assessment Strategy |
| LLN | Language, Literacy and Numeracy |
| NVR | National VET Regulator |
| RCC | Recognition of Current Competencies |
| RPL | Recognition of Prior Learning |
| RTO | Registered Training Organisation |
| TAS | Training and Assessment Strategy |
| VET | Vocational Education and Training |